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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/808,501	03/14/2001	John Anthony Beaven	GB920000055US1	3614

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EXAMINER
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KANG, INSUN

ART UNIT	PAPER NUMBER
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2124

DATE MAILED: 04/09/2004

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Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/808,501

Applicant(s)

BEAVEN ET AL.

Examiner

Insun Kang

Art Unit

2124

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 14 March 2001 and 25 June 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-49 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-49 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 14 March 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. _____  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>4</u> .   | 6) <input type="checkbox"/> Other: _____                                    |

### **DETAILED ACTION**

1. This action is responding to application papers dated 3/14/2001 and 6/25/2001.
2. Claims 1-49 are pending in the application.

### ***Drawings***

3. Figure 1 should be designated by a legend such as --Prior Art-- because only that which is old is illustrated. See MPEP § 608.02(g). A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5) because they include the following reference sign(s) not mentioned in the description: 100 in Figure 1. A proposed drawing correction, corrected drawings, or amendment to the specification to add the reference sign(s) in the description, are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

### ***Specification***

4. Applicant is reminded of the proper language and format for an abstract of the disclosure.

The abstract should be in narrative form and generally limited to a single paragraph on a separate sheet within the range of 50 to 150 words. It is important that the abstract not exceed 150 words in length since the space provided for the abstract on the computer tape used by the printer is limited. The form and legal phraseology often used in patent claims, such as "means" and "said," should be avoided. The abstract should describe the disclosure sufficiently to assist readers in deciding whether there is a need for consulting the full patent text for details.

The language should be clear and concise and should not repeat information given in the title. It should avoid using phrases which can be implied, such as, "The disclosure concerns," "The disclosure defined by this invention," "The disclosure describes," etc.

5. The abstract of the disclosure is objected to because the abstract contains phrases such as "Disclosed are" in line 3, "said" in line 12. Correction is required. See MPEP § 608.01(b).

6. The disclosure is objected to because of the following informalities: there seems to be a typo, "it" in line 15 of the abstract. Appropriate correction is required.

***Claim Rejections - 35 USC § 102***

7. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

8. Claims 1-14, 17-30, 33-46 and 49 are rejected under 35 U.S.C. 102(a) as being anticipated by Bachmann et al. ("Technical Concepts of Component-Based Software Engineering," 5/2000) hereinafter referred to as "Bachmann."

Per claim 1:

Bachmann discloses:

-a component specification element ("These design rules take the form of a component model, or a set of standards and conventions to which components must conform," pg 10 last paragraph; pg 20 last paragraph);

- a control flow specification element ("interaction contracts," pg 21 paragraphs 2-3; pg 12 5.21. Specifying Behavior)
- a data flow specification element (see 5.2.3 Specifying Quality of Service in pg 13);
- a resource specification element ("resource management," pg 24 paragraphs 3-4; pg 29 paragraph 3-4);
- a quality of service specification derivation element (see 5.2.3 Specifying Quality of Service in pg 13) having for output an application model in combination with a quality of service specification derived by implication from relations between components, control flows, data flows and resources("The specification of quality attributes...reusability, maintainability...and usability," pg 13 paragraph 5; "This interface specification describes a number of functional properties of a component that provides a directory service...the names, signatures of two operations of the directory service...a set of rules that map sequences of input events to sequences of output events," pg 18 paragraph 3)
- wherein said quality of service specification is made available to a runtime engine for deployment as a runtime contract in a runtime processing environment ("These contractual obligations ensure that independently developed components obey certain rules so that components interact...in predictable ways, and can be deployed into standard build-time and run-time environments," pg 3 last paragraph).

Per claim 2:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a runtime engine for deploying said runtime contract ("The deployment contract...describes the

interface that components must implement so that the framework can manage their resources," pg 30 Table 1: first and second rows; "The rules ensure ...that components may be easily deployed into ...runtime environments," pg 28 paragraph 2).

Per claim 3:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a messaging requirement contract (see 5.2.2 Specifying Synchronization," pg 13; "which communication protocol is used," pg 23, Uniform composition).

Per claim 4:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a transactionality requirement contract ("specifying that patterns of interaction are transactional," pg 24 lines 1-2).

Per claim 5:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a security requirement contract ("These properties include ... security," pg 12 first paragraph).

Per claim 6:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a recoverability requirement contract (see Interaction schemes in pg 24; pg 12 first paragraph; 5.2.3 Specifying Quality of Service, pg 13).

Per claim 7:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a completion requirement contract (see Interaction schemes in pg 24; pg 12 first paragraph; 5.2.3 Specifying Quality of Service, pg 13).

Per claim 8:

The rejection of claim 7 is incorporated, and further, Bachmann discloses a completion requirement contract specifying transactional behavior ("how qualities of service such as ...transactions are achieved," pg 24 Interaction schemes; "specifying that patterns of interaction are transactional," pg 24 lines 1-2).

Per claim 9:

The rejection of claim 7 is incorporated, and further, Bachmann discloses a completion requirement contract specifying compensation behavior (5.2.3. Specifying Quality of Service, pg 14 lines 1-5).

Per claim 10:

The rejection of claim 1 is incorporated, and further, Bachmann discloses at least one of a reliability, availability and serviceability requirement contract ("reliability," in 5.2.3 Specifying Quality of Service, pg 13).

Per claim 11:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a quality of delivery requirement contract ("These properties include ... availability," pg 12 first paragraph; "quality of service includes attributes such as maximum response delay, average response, and precision," pg 13 5.2.3 Specifying Quality of Service).

Per claim 12:

The rejection of claim 1 is incorporated, and further, Bachmann discloses at least one of a priority requirement and a response goal requirement contract (see 5.2.3 Specifying Quality of Service in pg 13).

Per claim 13:

The rejection of claim 1 is incorporated, and further, Bachmann discloses a performance requirement contract (pg 13 5.2.3 Specifying Quality of Service; "These properties include ... performance," pg 12 first paragraph).

Per claim 14:

The rejection of claim 1 is incorporated, and further, Bachmann discloses the quality of service specification is stored in a repository ("Java Modeling Language," pg 12, 5.2.1 Specifying Behavior).

Per claim 17:



The rejection of claim 1 is incorporated, and further, Bachmann discloses a quality of service specification is stored in a modeling language ("Java Modeling Language," pg 12, 5.2.1 Specifying Behavior).

Per claims 18-30, 33-46 and 49, they are the method versions of claims 1, 2, 4-14 and 17, respectively, and are rejected for the same reasons set forth in connection with the rejection of claims 1, 2, 4-14 and 17 above.

***Claim Rejections - 35 USC § 103***

9. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

10. Claims 15, 16, 31, 32, 47 and 48 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bachmann et al. ("Technical Concepts of Component-Based Software Engineering," 5/2000) hereinafter referred to as "Bachmann," as applied to claims 1-14, 17-30, 33-46 and 49 above, in view of Koistinen et al. ("Quality of Service Aware Distributed Object Systems," 5/1999) hereinafter referred to as "Koistinen."

Per claim 16:

The rejection of claim 1 is incorporated, and further, Bachmann does not explicitly teach that the quality of service specification is stored in XML. However, Koistinen teaches

that storing a quality of service specification in a tagged markup language such as XML was known in the art of software component-based development and configuration, at the time applicant's invention was made, "so that it can be understood readily by humans and parsed easily (pg 9, Implementation section)" such as that disclosed in Koistinen. It would have been obvious for one skilled in the art of computer software component-based development and configuration to modify Bachmann's disclosed system to use XML. The modification would be obvious because one skilled in the art would be motivated to provide readability and ease parsing as taught by Koistinen (pg 9, Implementation section).

Per claims 32 and 48, they are the method versions of claim 16, respectively, and are rejected for the same reasons set forth in connection with the rejection of claim 16 above.

Per claim 15, this claim is broader version of the claimed system discussed in claim 16 wherein all claim limitations also have been addressed and/or covered in cited areas as set forth the above. XML in claim 16 is a tagged markup language. Therefore, accordingly, see the rejection of claim 16 above.

Per claims 31 and 47, they are the method versions of claim 15, respectively, and are rejected for the same reasons set forth in connection with the rejection of claim 15 above.

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Insun Kang whose telephone number is 703-305-6465. The examiner can normally be reached on M-F 8:30-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kakali Chaki can be reached on 703-305-9662. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

IK  
3/25/2004

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